

#3
DT03 Rec'd PCT/PTO 04 DEC 2002

EXPRESS MAIL CERTIFICATE OF MAILING

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Date of Deposit: 12/4/02

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to:

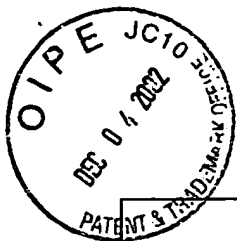
Box Missing Parts
Commissioner for Patents
Washington, D.C. 20231-0001.

Judy L. Steinkraus
Judy L. Steinkraus

Serial/~~Patent~~ No.: 10/019,381 Filing/~~Issue~~ Date: 06/30/2000
Client: INTEL CORPORATION
Title: METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION
BSTZ File No.: 42390.P9268 Atty/Secty Initials: JPW jxs
Date Mailed: December 4, 2002 Docket Due Date: 12/04/2002
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

<input type="checkbox"/> Amendment/Response (____ pgs.)	<input checked="" type="checkbox"/> Express Mail No.: <u>EL867551687US</u> Check No. <u>54165</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input checked="" type="checkbox"/> <u>Four</u> Month(s) Extension of Time Amt: <u>\$1440.00</u>
<input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO-1449 (____ pgs.) Check No. <u>54164</u>
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal Amt: <u>\$130.00</u>
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input checked="" type="checkbox"/> Petition for Extension of Time (1 p + dup)
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input checked="" type="checkbox"/> Petition for <u>Filing By Other Than All The</u>
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard <u>Inventors.. (3 pages)</u>
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)
<input checked="" type="checkbox"/> Certificate of Mailing (executed +	<input type="checkbox"/> Response to Notice of Missing Parts
<input checked="" type="checkbox"/> Declaration & POA (3 pgs.) Ex. A-F)	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.)	<input type="checkbox"/> Transmittal Letter, in duplicate
<input type="checkbox"/> Drawings: ____ # of sheets includes ____ figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate (2 pages)

☒ Other: copy of Notice to File Missing Parts (2 pages)



FEE TRANSMITTAL FOR FY 2003

TOTAL AMOUNT OF PAYMENT (\$)1,570.00

Complete if Known:

Application No. 10/019,381

Filing Date 06/30/2000

First Named Inventor Guo, et al.

Group Art Unit not yet assigned

Examiner Name not yet assigned

Attorney Docket No. 42390.P9268

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge deficiencies in indicated fees and credit any over payments to:

Deposit Account Number 2-2666
Deposit Account Name _____

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☒ Checks
_____ Money Order
_____ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
1001	740	2001	370	Utility application filing fee	_____
1002	330	2002	165	Design application filing fee	_____
1003	510	2003	255	Plant filing fee	_____
1004	740	2004	370	Reissue filing fee	_____
1005	160	2005	80	Provisional application filing fee	_____

SUBTOTAL (1) \$ _____

2. EXTRA CLAIM FEES

		Extra Claims	Fee from below	Fee Paid
Total Claims	_____	- 20** = _____	X _____	= _____
Independent Claims	_____	- 3** = _____	X _____	= _____
Multiple Dependent	_____		_____	= _____

**Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description
Code	Fee (\$)	Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ _____

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	Request for inter parties reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	400	2252	200	Extension for reply within second month	
1253	920	2253	460	Extension for reply within third month	
1254	1,440	2254	720	Extension for reply within fourth month	1440.00
1255	1,960	2255	980	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,280	2453	640	Petition to revive - unintentional	
1501	1,280	2501	640	Utility issue fee (or reissue)	
1502	460	2502	230	Design issue fee	
1503	620	2503	310	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130.00
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	740	2809	370	For filing a submission after final rejection (see 37 CFR 1.129(a))	
1814	110	2814	55	Statutory Disclaimer	
1810	740	2810	370	For each additional invention to be examined (see 37 CFR 1.129(b))	
1801	740	2801	370	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal pub.	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,280	1454	1,280	Acceptance of unintentionally delayed claim for priority	

Other fee (specify) _____

Other fee (specify) _____

SUBTOTAL (3) \$1,570.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: John P. Ward

Signature: _____ Date: 12/04/2002

Reg. Number: 40,276 Telephone Number: (408) 720-8300 x237

12/11/2002 SHAJARRO 0000/82 10019381

01 FC:1460
02 FC:1254130.00 OP
1440.00 OP

10/01/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Qing Guo et al.

Serial No.: 10/019,381

International Application No.: PCT/CN00/00299

For: Method And System To Scale Down A Decision Tree-
Based Hidden Markov Model (HMM) For Speech Recognition
BOX MISSING PARTSAssistant Commissioner for Patents
Washington, D.C. 20231

Examiner: Not Yet Assigned

Art Unit: Not Yet Assigned

Conf. No.: 6337

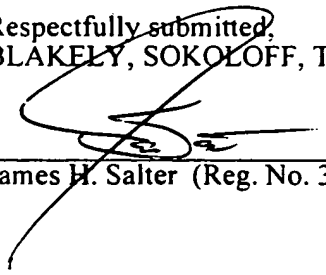
**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN
THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

Sir:

In response to the Notification of Missing Requirements mailed June 4, 2002, please find enclosed:

- (1) Two duly executed Declaration and Powers of Attorney with respect to the above-referenced patent application;
- (2) a check in the amount of \$130.00 in payment of 37 C.F.R. § 1.492 (e);
- (3) a copy of the Notification of Missing Requirements
- (4) a Petition Under 37 C.F.R. 1.47(a)
- (5) Declaration of James H. Salter
- (6) a check in the amount of \$130.00 in payment of 37 C.F.R. § 1.17(h).

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLPDated: 4/17/, 200312400 Wilshire Blvd.
Seventh Floor
Los Angeles, CA 90025-1026
(408) 720-8300
James H. Salter (Reg. No. 35,668)**FIRST CLASS CERTIFICATE OF MAILING****(37 C.F.R. § 1.8(a))**I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to BOX MISSING PARTS, Assistant Commissioner for Patents, Washington, D.C. 20231 on April 17, 2003.Claire Wallters
Name of Person Mailing Correspondence

Signature

Claire Wallters4/17/2003

Date

FEE TRANSMITTAL FOR FY 2003

TOTAL AMOUNT OF PAYMENT (\$) 260.00

Complete if Known:

Application No. 10/019,381
 Filing Date Not Yet Assigned
 First Named Inventor Qing Guo
 Group Art Unit Not Yet Assigned
 Confirmation No.: 6337
 Attorney Docket No. 42390.P9268

METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number _____
 Deposit Account Name _____
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, and charge any deficiencies to Deposit Account Number 02-2666, and credit any over payments to Deposit Account Number 02-2666
- ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)
2. ☒ Payment Enclosed
☒ Check
☐ Money Order
☐ Other
3. ☐ Applicant claims small entity.
 See CFR 1.27

FEE CALCULATION (fees effective 01/01/03)

1. FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
1001	750	2001	375	Utility application filing fee	_____
1002	330	2002	165	Design application filing fee	_____
1003	520	2003	260	Plant filing fee	_____
1004	750	2004	375	Reissue filing fee	_____
1005	160	2005	80	Provisional application filing fee	_____
SUBTOTAL (1)				\$	<u>0</u>

2. CLAIMS

	Extra	Fee from below	Fee Paid
Total Claims _____	- 20 = _____	X _____	= _____
Independent Claims _____	- 3 = _____	X _____	= _____
Multiple Dependent Claims _____	_____	X _____	= _____

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
1202	18	2202	9	Claims in excess of twenty	_____
1201	84	2201	42	Independent claims in excess of 3	_____
1203	280	2203	140	Multiple dependent claim	_____
1204	84	2204	42	Reissue independent claims over original patent	_____
1205	18	2205	9	Reissue claims in excess of 20 and over original patent	_____
SUBTOTAL (2)				\$	<u>0</u>

FEE CALCULATION (continued)
3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
1051	130	2051	65	Surcharge - late filing fee or oath	130.00
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1813	8,800	1813	8,800	For filing a request for ex parte reexamination	
1251	110	2251	55	Extension for response within first month	
1252	410	2252	205	Extension for response within second month	
1253	930	2253	465	Extension for response within third month	
1254	1,450	2254	725	Extension for response within fourth month	
1255	1,970	2255	985	Extension for response within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130.00
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	For filing a submission after final rejection	
1814	110	2814	55	Statutory Disclaimer	
1810	750	2810	375	For each additional invention to be examined	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
1504	300	1504	300	Publication fee for early, voluntary, or normal publication	
1505	300	1505	300	Publication fee for republication	
1803	130	1803	130	Request for voluntary publication or republication	
1808	130	1808	130	Processing fee under 37 CFR 1.17(i) (except provisionals)	
1454	1,300	1454	1,300	Acceptance of unintentionally delayed claim for priority	
Other: _____					
Other: _____					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$ 260.00

SUBMITTED BY:

Typed or Printed Name: James H. Salter

Signature _____

Date 4/17/03

Reg. Number 35.668

Customer No. _____ (complete if applicable)

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Box Missing Parts, Assistant Commissioner for Patents, Washington, D.C. 20231 on April 17, 2003

Claire Walters

Name of Person Mailing Correspondence

Signature Claire Walters

Date 4/17/03



UNITED STATES PATENT AND TRADEMARK OFFICE

 Commissioner for Patents, Box PCT
 United States Patent and Trademark Office
 Washington, D.C. 20231
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/019,381	Qing Guo	42390.P9268

Mr John P Ward
 Blakely Sokoloff Taylor & Zafmann
 12400 Wilshire Boulevard
 7th Floor
 Los Angeles, CA 90025-1030

RECEIVED
 JUN 10 2002

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
 LOS ANGELES

INTERNATIONAL APPLICATION NO.	
PCT/CN00/00299	
I.A. FILING DATE	PRIORITY DATE
06/30/2000	

CONFIRMATION NO. 6337

371 FORMALITIES LETTER



OC00G000008213048

ENTERED

JUN 10 2002

Date Mailed: 06/04/2002

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/SELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 20 months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

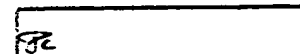
SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

RECEIVED

JUN 14 2002

B.S.T.L. DATABASE DEPT.



ENTERED
 6/14/02

- \$130 Late oath or declaration Surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

DEBORAH D WILLIAMS

Telephone: (703) 305-3744

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/019,381	PCT/CN00/00299	42390.P9268

FORM PCT/DO/EO/905 (371 Formalities Notice)